



AF/GP 384  
1/7/03  
15/E  
BARNES & THORNBURG

600 One Summit Square  
Fort Wayne, Indiana 46802  
(260) 423-9440

PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Customer No.: 23641  
Application No.: 09/406290  
Confirmation No.: 1448  
Filing Date: September 24, 1999  
Group Art Unit: 3627  
Examiner Name: Christopher R. Buchanan  
Attorney Docket No.: 37168/82045  
First Named Inventor: Stephen H. Lewis, et al.  
Title: METHOD AND APPARATUS FOR PROVIDING RETIREMENT INCOME BENEFITS

Certificate Under 37 CFR 1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Mail Stop Appeal Brief - Patents,  
Commissioner for Patents, P. O. Box 1450,  
Alexandria, VA 22313-1450

on December 19, 2003

*Dianne Neumann Leatherman*  
Dianne Neumann Leatherman

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JAN 05 2004

GROUP 3600

FEE TRANSMITTAL FOR FY 2004

TOTAL AMOUNT OF PAYMENT: \$ 750.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 CFR 1.16 and 1.17 and credit any overpayments to:

Deposit Account Number: 02-1010 (37168/82045)

Deposit Account Name: Barnes & Thornburg

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

## FEE CALCULATION

### 1. Basic Filing Fee:

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1001	\$770.00	2001	\$385.00	Utility Filing Fee	
1002	\$340.00	2002	\$170.00	Design Filing Fee	
1007	\$340.00	2007	\$170.00	Design Filing Fee (CPA)	
1003	\$530.00	2003	\$265.00	Plant Filing Fee	
1004	\$770.00	2004	\$385.00	Reissue Filing Fee	
1005	\$160.00	2005	\$80.00	Provisional Filing Fee	
				SUBTOTAL (1)	0.00

### 2. Extra Claim Fees:

			Extra Claims		Fee from Below		Fee Paid
Total Claims		-20**=		x		=	0.00
Independent Claims		- 3**=		x		=	0.00
Multiple Dependent Claim						=	0.00
					SUBTOTAL (2)		0.00

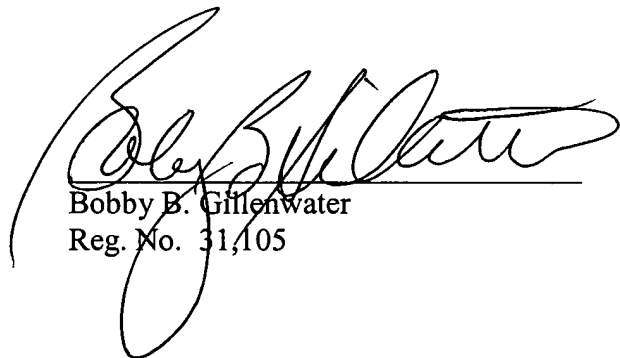
Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description
1202	\$18.00	2202	\$9.00	Claims in excess of 20
1201	\$86.00	2201	\$43.00	Independent claims in excess of 3
1203	\$290.00	2203	\$145.00	Multiple dependent claims, if not paid
1204	\$86.00	2204	\$43.00	** Reissue independent claims over original patent
1205	\$18.00	2205	\$9.00	** Reissue claims in excess of 20 and over original patent

\*\* or number previously paid, if greater; For Reissues, see above. For multiple dependent claims, pay fee only once no matter how many multiple dependent claims you have.

### 3. Additional Fees:

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1051	\$130.00	2051	\$65.00	Surcharge - late filing fee or oath	
1052	\$50.00	2052	\$25.00	Surcharge - late provisional filing fee or cover sheet	
1053	\$130.00	1053	\$130.00	Non-English specification	
1812	\$2,520.00	1812	\$2,520.00	For filing a request for ex parte reexamination	
1804	\$920.00*	1804	\$920.00*	Requesting publication of SIR prior to Examiner action	
1805	\$1,840.00*	1805	\$1,840.00*	Requesting publication of SIR after to Examiner action	

1251	\$110.00	2251	\$55.00	Extension for reply within first month	
1252	\$420.00	2252	\$210.00	Extension for reply within second month	420.00
1253	\$950.00	2253	\$475.00	Extension for reply within third month	
1254	\$1,480.00	2254	\$740.00	Extension for reply within fourth month	
1255	\$2,010.00	2255	\$1,005.00	Extension for reply within fifth month	
1401	\$330.00	2401	\$165.00	Notice of Appeal	
1402	\$330.00	2402	\$165.00	Filing a brief in support of an appeal	330.00
1403	\$290.00	2403	\$145.00	Request for oral hearing	
1451	\$1,510.00	1451	\$1,510.00	Petition to institute a public use proceeding	
1452	\$110.00	2452	\$55.00	Petition to revive - unavoidable	
1453	\$1,330.00	2453	\$665.00	Petition to revive - unintentional	
1501	\$1,330.00	2501	\$665.00	Utility issue fee	
1502	\$480.00	2502	\$240.00	Design issue fee	
1503	\$640.00	2503	\$320.00	Plant issue fee	
1504	\$300.00	1504	\$300.00	Publication Fee for early, voluntary, or normal Publication	
1460	\$130.00	1460	\$130.00	Petitions to the Commissioner	
1807	\$50.00	1807	\$50.00	Processing fee for provisional applications	
1806	\$180.00	1806	\$180.00	Submission of Information Disclosure Statement	
8021	\$40.00	8021	\$40.00	Recording each patent assignment per property (times number of properties)	
1809	\$770.00	2809	\$385.00	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	\$770.00	2810	\$385.00	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	\$770.00	2801	\$385.00	Request for Continued Examination (RCE)	
1802	\$900.00	1802	\$900.00	Request for expedited examination of a design application	
Other fee (specify): _____					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					750.00

  
 Bobby B. Gillenwater  
 Reg. No. 31,105

Date: December 19, 2003

FWDS01 BBG 178288

(Rev. 10/03)

**BARNES & THORNBURG**

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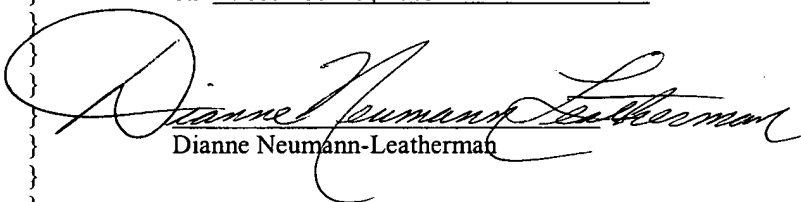
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P. O. Box 1450, Alexandria, VA 22313-  
1450

on December 19, 2003

  
Dianne Neumann-Leatherman

**TRANSMITTAL FORM**

(to be used for all correspondence after initial filing)

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JAN 05 2004  
**GROUP 3600**

**ENCLOSURES (check all that apply)**

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form      | <input type="checkbox"/> Express Abandonment Request                         |
| <input checked="" type="checkbox"/> Fee Attached - \$750.00   | <input type="checkbox"/> Information Disclosure Statement                    |
| <input type="checkbox"/> Amendment/Response                   | <input type="checkbox"/> Certified Copy of Priority Document(s)              |
| <input type="checkbox"/> After Final                          | <input type="checkbox"/> Response to Missing Parts/Incomplete Application    |
| <input type="checkbox"/> Affidavits/declaration(s)            | <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |
| <input checked="" type="checkbox"/> Extension of Time Request |  |

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_
- ☐ After Allowance Communication to Group

- ☐ Appeal Communication to Board of Appeals and Interferences
- ☒ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

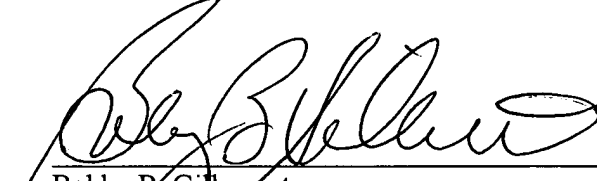
(a) Receipt Postcard

(b) \_\_\_\_\_

(c) \_\_\_\_\_

(d) \_\_\_\_\_

Remarks:

  
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